533 Rec 2001 137

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the application of:		Attorney Docket No.			
Kendrick W. Kan, Bruce L. Horn		26592-004REG US Examiner: James R. Mathews			
Internet-Based System for Identification,)				
Measurement and Ranking of Investment)				
Portfolio Management, and Operation)	•			
of a Fund Supermarket, Including "Best)	•			
Investor" Managed Funds)				
Serial No. 09/836,694)	Date of Mailing: September 27, 2001			
Filed: April 17, 2001)				

Certification under 37 C.F.R. § 1.10

Mailing Date: Sept. 27, 2001 Express Mail Label No.:

EL 902 899 042 US

I hereby certify that the Application/correspondence attached hereto is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" under the above Label Number under 37 C.F.R. § 1.10, on the above stated date addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.

Name: Melissa Harrison

Signature:

INFORMATION DISCLOSURE STATEMENT **UNDER 37 CFR §1.97**

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

Applicant(s) wish to disclose the following information under rule 97:

REFERENCES

- [X] The Applicant(s) wish to make of record the references listed on the attached Form PTO-1449. Copies of the listed references are attached, where required.
- The Applicant(s) wish to make of record the references cited in the Search Report for [X] PCT/US01/12540, filed April 17,2001 (Status: Pending). Where applicable, copies of the prior Information Disclosure Statement and Search Report are attached.

RELATED CASE(S)

[X]Applicant has filed the following related U.S. application: This Application is based on the following three Provisional Applications, all filed by the same inventors under the same application title: 60/197,569 filed April 17, 2000; 60/231,058 filed September 8, 2000; and 60/261,885 filed January 16, 2001; and of the following Regular Applications filed by Bruce Horn and Blake Ward: System And Method For Generating Personalized Messages, USSN 09/610,164, filed July 5, 2000; System and Method For Determining and Tracking Performance Metrics For Individual Investors, USSN 09/610,160, filed July 5, 2000; and System And Method For Ranking Individual Investors And Filtering Commentary Based On Ranking, USSN 09/610,163, filed July 5, 2000.

CERTIFICATION

The	undersigned certifies that:								
[X]	No Office Action has been received in this case.								
[]	The reference(s) disclosed herein were previously disclosed in the original priority								
	application Specification as filed, or/and the relevance to the present								
	application described therein.								
[]	The publications were cited in a communication from a foreign patent office in								
	Applicant's counterpart foreign application.								
<u>FEI</u>	E PAYMENT								
[X]	It is believed that no fee is due for the papers being filed herewith.								
[.]	Enclosed is a check in the amount of \$ for the fees due under §1.17(p) for the papers being filed herewith.								
[]	Please charge Deposit Account No. 04-1699 in the amount of \$ for the fees due under §1.17(p) for the papers being filed herewith. A duplicate of this sheet is enclosed.								
[X]	If the fees as submitted above are not correct or a fee is required, please charge any additional fees, or credit any overpayment, to Deposit Account No. 04-1699. Please reference the Attorney Docket number 26592-004REG US in recording any fee charge made.								

Encl: 1449 and 6 References

DATE: September 27, 2001

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Respectfully submitted,

Jacques M. Dulin, Esq.

Registration No. 24,067

SHEET 1 OF 1

Form U.S. DEPARTMENT OF COMMERCE PTO 1449 PATENT AND TRADEMARK OFFICE (Modified) LIST OF REFERENCES CITED BY APPLICANT (Use Several Sheets if Necessary)			ATTY. DOCKET NO. (1) 26592-004REG US APPLICANT Kendrick W. Kam, et al. FILING DATE (1) April 17, 2001			SERIAL NO (1) 09/836,694 SEP 2 7 7001 GROUP (1) Not Yet Assigned					
EXAMINER INITIAL		DOCUMENT NUMBER	DATE		NAME CLASS		SUB CLASS	FILING DATE IF APPROPRIATE			
	Α	5,761,442	6/1998	Barr, et	al	395	236	8/1994			
	В	5,784,696	7/1998	Melniko	ff	705	36	6/1995			
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	E.	5,911,135	6/1999	Atkins	tkins 705		36	4/1991			
•	F	5,987,433	11/1999	Crapo		705	36	6/1996			
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*EXAMINER: Initial if reference is considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.											